

U.S. DEPARTMENT OF EDUCATION  
OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES  
WASHINGTON, D.C. 20202-2575

**FY 2009 APPLICATION PACKAGE FOR NEW GRANTS  
UNDER**

**THE NATIONAL INSTITUTE ON DISABILITY AND REHABILITATION RESEARCH**

**RESEARCH FELLOWSHIPS PROGRAM**

**CFDA NUMBER: 84.133F**



FORM APPROVED  
OMB No. 1820-0027, EXP. DATE 04/30/2010  
ED FORM 424, OMB Approved

**DATED MATERIAL - OPEN IMMEDIATELY**

**CLOSING DATE: JANUARY 27, 2009**

## **TABLE OF CONTENTS**

<b><u>SUBJECT</u></b>	<b><u>SECTION</u></b>
Dear Applicant Letter.....	A
Notice Inviting Applications.....	B
Selection Criteria .....	C
Grants.gov Submission Procedures and Tips for Applicants.....	D
Protection of Human Subjects Information .....	E
Frequently Asked Questions & Points to Remember in Application Preparation ....	F
Application Format.....	G
Application Forms.....	H
DUNS Number Instructions.....	I
Application Checklist.....	J

DATE: November 28, 2008

Dear Applicant:

The Secretary invites applications for new awards for fiscal year (FY) 2009 under the Research Fellowships program (84.133F), also known as the Mary E. Switzer Fellowship.

Prior to completing the grant application, please review the Federal Register Notice included in this application package.

Only individuals are eligible for this competition. Institutes of Higher Education or other entities cannot submit this competition for the individual either by grants.gov (electronically) or by paper. No IHE or institutes should sign these forms; the individual must sign any of the forms.

There is a restriction on the number of pages for this competition. Applicants must include all of their material for the narrative (Part III) within the 24 double-spaced page limit. This page limit does not include the forms, abstract, bibliography, eligibility statement, curriculum vitae, letters of recommendation or information on the protection of human subjects.

#### APPLICATION PROCEDURES

This application package contains information and the required forms for potential applicants to apply and be considered for a FY 2009 grant award under this competition and the Notice Inviting Applications published in the Federal Register notice dated November 28, 2008.

Potential applicants are advised to read the materials carefully, particularly the information on how to prepare an application, the protection of human subjects, the format and addresses for submitting, and the selection criteria (Section C) used by the reviewers to evaluate each application.

These instructions indicate that you can either submit your application electronically through the grants.gov system or you can mail (postmarked) or hand-deliver or by carrier service one original and two copies of your application on or before the application deadline date, to the address list in **Section B**. The closing date (application deadline) is **January 27, 2009**.

If you are submitting by paper

NIDRR would appreciate that you include seven additional copies of your application to facilitate the peer review process (8 copies in all). In addition, NIDRR requests that you submit a disk copy of your application. Also, we would like to suggest that the original copy of the application be secured with a binder clip in order to facilitate any additional copying that might be required.

If you are submitting electronically

We are encouraging you to submit your application electronically. We strongly suggest that you carefully check your submission to ensure that you have attached files in one of the three acceptable file formats and that the files are attached in the appropriate fields. We also strongly recommend that you do not wait until the application deadline date to begin the application process through Grants.gov.

**We encourage you to read Section D -- Grants.gov Submission Procedures and Tips for Applicants**

The program narrative must address the selection criteria included in this application packet (Section C). To facilitate the peer review process, you should address the criteria in the order presented. Each proposal **should include a one-page abstract**. The abstract is a critical component of the proposal, and it should highlight the purpose, target population to be served during the project period, planned goals and objectives, innovative strategies and research methods to be utilized, project outcomes, and dissemination. Proposal should also include an eligibility statement, curriculum vitae, and letters of recommendation, and information on human subjects protection (if applicable). No budget is required.

You must attach any narrative sections of your application as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format. If you upload a file type other than the three file types specified in this paragraph or submit a password-protected file, we will not review that material.

Your electronic application must comply with any page-limit requirements described in this notice.

PROGRAM RULES

These grants are subject to the requirements of Education Department General Administrative Regulations (EDGAR), 34 CFR Part 77, 82, 84, and 85, which set forth general rules affecting the submittal, review, grant award, and post-award administration for Department of Education grant programs.

TECHNICAL ASSISTANCE

If you have any questions about the information in this application packet, please contact Marlene Spencer at Marlene.Spencer@ed.gov or by telephone at (202) 245-7532. Individuals who use a telecommunications device (TDD) may call the Federal Relay Service (FRS) at 1-800-877-8339 between 8:00 a.m. and 4:00 p.m., EST, Monday through Friday. If you need help with Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or use the customer support available on the Web site: <http://www.grants.gov/CustomerSupport>.

**NOTE:** Please forward this entire application packet to the individual or office responsible for preparing an application, as they will need the entire packet to complete the grant application.

Thank you for your interest in these programs.

Sincerely,

//Signed//

Jennifer Sheehy

Delegated the authority to carry out the  
Functions of the Director

## **Section B**

# **Notice Inviting Applications**

4000-01-U

DEPARTMENT OF EDUCATION

Office of Special Education and Rehabilitative Services

Overview Information

National Institute on Disability and Rehabilitation Research

(NIDRR)--Research Fellowships Program

Notice inviting applications for new awards for fiscal year (FY)  
2009.

Catalog of Federal Domestic Assistance (CFDA) Number: 84.133F-  
1.

Dates:

Applications Available: November 28, 2009.

Deadline for Transmittal of Applications: January 27, 2009.

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The purpose of the Research Fellowships Program is to build research capacity by providing support to enable highly qualified individuals, including those who are individuals with disabilities, to conduct research on the rehabilitation of individuals with disabilities.

Note: This program is in concert with President George W. Bush's New Freedom Initiative (NFI) and NIDRR's Final Long-Range Plan for FY 2005-2009 (Plan). The NFI can be accessed on the Internet at the following site:

<http://www.whitehouse.gov/infocus/newfreedom>

The Plan is comprehensive and integrates many issues relating to disability and rehabilitation research topics. The Plan, which was published in the Federal Register on February 15, 2006 (71 FR 8165), can be accessed on the Internet at the following site: <http://www.ed.gov/about/offices/list/osers/nidrr/policy.html>.

Through the implementation of the Plan, NIDRR seeks to--(1) improve the quality and utility of disability and rehabilitation research; (2) foster an exchange of expertise, information, and training to facilitate the advancement of knowledge and understanding of the unique needs of traditionally underserved populations; (3) determine the best strategies and programs to improve rehabilitation outcomes for underserved populations; (4) identify research gaps; (5) identify mechanisms of integrating research and practice; and (6) disseminate findings.

Priorities: This competition contains one absolute priority and one invitational priority.

Absolute Priority: In accordance with 34 CFR 75.105(b)(2)(ii), this priority is from the regulations for this program (34 CFR part 356.10). For FY 2009, this priority is an absolute priority. Under 34 CFR 75.105(c)(3) we consider only applications that meet this priority.

This priority is:

Research Fellowships Program



Fellows must conduct original research in an area authorized by section 204 of the Rehabilitation Act of 1973, as amended (the Act). Section 204 authorizes research designed to maximize the full inclusion and integration of individuals with disabilities, especially individuals with the most severe disabilities, into society, by fostering improvements in the areas of employment, independent living, family, support, and economic and social self-sufficiency, and to improve the effectiveness of services authorized under the Act.

Within this absolute priority, we are particularly interested in applications that address the following invitational priority.

Invitational Priority: Under 34 CFR 75.105(c)(1) we do not give an application that meets this invitational priority a competitive or absolute preference over other applications.

This priority is:

For FY 2009, the Secretary is particularly interested in applications from qualified individuals with disabilities.

Program Authority: 29 U.S.C. 762(e).

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 75.60 and 75.61, 77, 82, 84, 85, and 97. (b) The regulations for this program in 34 CFR part 356. (c) The regulations in 34 CFR 350.51 and 350.52.

## II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: The Administration has requested \$105,741,000 for the NIDRR program for FY 2009, of which we intend to use an estimated \$505,000 for the Research Fellowships Program. The actual level of funding, if any, depends on final congressional action. However, we are inviting applications to allow enough time to complete the grant process if Congress appropriates funds for this program.

Maximum Awards: We will reject any application that proposes a budget exceeding \$65,000 for Merit Fellowships, and \$75,000 for Distinguished Fellowships for a single budget period of 12 months. The Assistant Secretary for Special Education and Rehabilitative Services may change the maximum amount through a notice published in the Federal Register.

Estimated Number of Awards: Seven total, including both Merit Fellowships and Distinguished Fellowships.

Note: The Department is not bound by any estimates in this notice.

Project Period: Up to 12 months.

### III. Eligibility Information

1. Eligible Applicants: Eligible individuals must have training and experience that indicate a potential for engaging in scientific research related to the solution of rehabilitation problems of individuals with disabilities. The program provides

two categories of Research Fellowships: Merit Fellowships and Distinguished Fellowships.

(a) To be eligible for a Merit Fellowship, an individual must have either advanced professional training or independent study experience in an area that is directly pertinent to disability and rehabilitation. In the most recent competitions for this program, Merit Fellowship recipients had research experience at the doctoral level.

(b) To be eligible for a Distinguished Fellowship, an individual must have seven or more years of research experience in subject areas, methods, or techniques relevant to rehabilitation research and must have a doctorate, other terminal degree, or comparable academic qualifications.

Note: Institutions are not eligible to be recipients of research Fellowships.

2. Cost Sharing or Matching: This program does not require cost sharing or matching.

#### IV. Application and Submission Information

1. Address to Request Application Package: You can obtain an application package via the Internet or from the Education Publications Center (ED Pubs). To obtain a copy via the Internet, use the following address:

<http://www.ed.gov/fund/grant/apply/grantapps/index.html>

To obtain a copy from ED Pubs, write, fax, or call the following: Education Publications Center, P.O. Box 1398,

Jessup, MD 20794-1398. Telephone, toll free: 1-877-433-7827.  
FAX: (301) 470-1244. If you use a telecommunications device  
for the deaf (TDD), call, toll free: 1-877-576-7734.

You can contact ED Pubs at its Web site, also:

[www.ed.gov/pubs/edpubs.html](http://www.ed.gov/pubs/edpubs.html) or at its e-mail address:

[edpubs@inet.ed.gov](mailto:edpubs@inet.ed.gov)

If you request an application from ED Pubs, be sure to  
identify this program as follows: CFDA Number 84.133F-1.

Individuals with disabilities can obtain a copy of the  
application package in an accessible format (e.g., braille,  
large print, audiotape, or computer diskette) by contacting the  
person or team listed under Accessible Format in section VIII of  
this notice.

## 2. Content and Form of Application Submission:

Requirements concerning the content of an application, together  
with the forms you must submit, are in the application package  
for this competition. The application package will provide  
instructions for completing all components to be included in  
either the paper application or electronically using Grants.gov.  
Each application must include the required forms, an abstract,  
Human Subjects narrative, if applicable, Part III narrative,  
resume, and other related materials, if applicable.

Note: Part II, the budget section, is not required for this  
program and should not be included.

Note: Applicants submitting a paper application or electronically using Grants.gov must place their Social Security Number in Block #8b SF 424 form in place of the Employer Identification Number.

Page Limit: The application narrative (Part III of the application) is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. You must limit the application narrative (Part III) to the equivalent of no more than 24 double-spaced pages. The following standards are recommended:

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the application narrative. Single spacing may be used for titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.
- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).
- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial. An application submitted in any other font (including Times Roman or Arial Narrow) will not be accepted.

The page limit does not apply to Part I, Application for Federal Assistance; Part IV, the assurances and certifications;

or the one-page abstract, the eligibility statement, the curriculum vitae, the bibliography, the letters of recommendation, or the information on the protection of human subjects. However, the page limit does apply to all of the application narrative section (Part III).

We will reject your application if you exceed the page limit; or if you apply other standards and exceed the equivalent of the page limit.

### 3. Submission Dates and Times:

Applications Available: November 28, 2009.

Deadline for Transmittal of Applications: January 27, 2009.

Applications for grants under this program may be submitted electronically using the Grants.gov Apply site (Grants.gov), or in paper format by mail or hand delivery. For information (including dates and times) about how to submit your application electronically, or in paper format by mail or hand delivery, please refer to section IV. 6. Other Submission Requirements in this notice.

We do not consider an application that does not comply with the deadline requirements.

Individuals with disabilities who need an accommodation or auxiliary aid in connection with the application process should contact the person listed under For Further Information Contact in section VII in this notice. If the Department provides an accommodation or auxiliary aid to an individual with a

disability in connection with the application process, the individual's application remains subject to all other requirements and limitations in this notice.

4. Intergovernmental Review: This program is not subject to Executive Order 12372 and the regulations in 34 CFR part 79.

5. Funding Restrictions: Applicants are not required to submit a budget with their proposal. The Merit Fellowships and Distinguished Fellowships awards are one Full Time Equivalent (FTE) awards. The Fellow must work principally on the fellowship during the term of the fellowship award. We define one FTE as equal to 40 hours per week. The Fellow cannot receive support through any other Federal Government grants during the term of the fellowship award.

We reference additional regulations outlining funding restrictions in the Applicable Regulations section in this notice.

6. Other Submission Requirements: Applications for grants under this program may be submitted electronically or in paper format by mail or hand delivery.

a. Electronic Submission of Applications.

To comply with the President's Management Agenda, we are participating as a partner in the Governmentwide Grants.gov Apply site. The NIDRR Research Fellowships Program, CFDA Number

84.133F-1, is included in this project. We request your participation in Grants.gov.

If you choose to submit your application electronically, you must use the Governmentwide Grants.gov Apply site at <http://www.Grants.gov>. Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and submit your application. You may not e-mail an electronic copy of a grant application to us.

You may access the electronic grant application for the Research Fellowship Program at <http://www.Grants.gov>. You must search for the downloadable application package for this program by the CFDA number. Do not include the CFDA number's alpha suffix in your search (e.g., search for 84.133, not 84.133F).

Please note the following:

- Your participation in Grants.gov is voluntary.
- When you enter the Grants.gov site, you will find information about submitting an application electronically through the site, as well as the hours of operation.
- Applications received by Grants.gov are date and time stamped. Your application must be fully uploaded and submitted and must be date and time stamped by the Grants.gov system no later than 4:30:00 p.m., Washington, DC time, on the application deadline date. Except as otherwise noted in this section, we will not accept your application if it is received--that is, date and time stamped by the Grants.gov system--after 4:30:00



p.m., Washington, DC time, on the application deadline date. We do not consider an application that does not comply with the deadline requirements. When we retrieve your application from Grants.gov, we will notify you if we are rejecting your application because it was date and time stamped by the Grants.gov system after 4:30:00 p.m., Washington, DC time, on the application deadline date.

- The amount of time it can take to upload an application will vary depending on a variety of factors, including the size of the application and the speed of your Internet connection. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the submission process through Grants.gov.

- You should review and follow the Education Submission Procedures for submitting an application through Grants.gov that are included in the application package for this program to ensure that you submit your application in a timely manner to the Grants.gov system. You can also find the Education Submission Procedures pertaining to Grants.gov at <http://e-Grants.ed.gov/help/GrantsgovSubmissionProcedures.pdf>

- To submit your application via Grants.gov, you must complete all steps in the Grants.gov registration process for an individual. You do not need to register in the Central Contractor Registry. The steps to register as an individual include--

(1) Accessing the Grants.gov Credential Provider Web page, <http://apply.grants.gov/IndCPRegister> and entering the funding opportunity number, which can be located when you search for this grant opportunity on [http://www.grants.gov/applicants/search\\_opportunities.jsp](http://www.grants.gov/applicants/search_opportunities.jsp);

(2) Completing the credential information to obtain a credential username and password; and

(3) Using the credential username and password, complete the registration at <http://apply.grants.gov/IndGGRegister>

Registration for individuals is complete, once the Grants.gov registration step is finished. Please note that the registration process may take one or more business days to complete, and you must have completed all registration steps to allow you to submit successfully an application via Grants.gov.

- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you submit your application in paper format.

- If you submit your application electronically, you must submit all documents electronically, including all information you typically provide on the following forms: Application for Federal Assistance (SF 424), the Department of Education Supplemental Information for SF 424, and all necessary assurances and certifications. Please note that two of these forms--the SF 424 and the Department of Education Supplemental

Information for SF 424--have replaced the ED 424 (Application for Federal Education Assistance).

- If you submit your application electronically, you must attach any narrative sections of your application as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format. If you upload a file type other than the three file types specified in this paragraph or submit a password-protected file, we will not review that material.

- Your electronic application must comply with any page-limit requirements described in this notice.

- After you electronically submit your application, you will receive from Grants.gov an automatic notification of receipt that contains a Grants.gov tracking number. (This notification indicates receipt by Grants.gov only, not receipt by the Department.) The Department then will retrieve your application from Grants.gov and send a second notification to you by e-mail. This second notification indicates that the Department has received your application and has assigned your application a PR/Award number (an ED-specified identifying number unique to your application).

- We may request that you provide us original signatures on forms at a later date.

Application Deadline Date Extension in Case of Technical Issues with the Grants.gov System: If you are experiencing problems submitting your application through Grants.gov, please contact

the Grants.gov Support Desk, toll free, at 1-800-518-4726. You must obtain a Grants.gov Support Desk Case Number and must keep a record of it.

If you are prevented from electronically submitting your application on the application deadline date because of technical problems with the Grants.gov system, we will grant you an extension until 4:30:00 p.m., Washington, DC time, the following business day to enable you to transmit your application electronically or by hand delivery. You also may mail your application by following the mailing instructions described elsewhere in this notice.

If you submit an application after 4:30:00 p.m., Washington, DC time, on the application deadline date, please contact the person listed under For Further Information Contact in section VII in this notice and provide an explanation of the technical problem you experienced with Grants.gov, along with the Grants.gov Support Desk Case Number. We will accept your application if we can confirm that a technical problem occurred with the Grants.gov system and that that problem affected your ability to submit your application by 4:30:00 p.m., Washington, DC time, on the application deadline date. The Department will contact you after a determination is made on whether your application will be accepted.

Note: The extensions to which we refer in this section apply only to the unavailability of, or technical problems with, the

Grants.gov system. We will not grant you an extension if you failed to fully register to submit your application to Grants.gov before the application deadline date and time or if the technical problem you experienced is unrelated to the Grants.gov system.

b. Submission of Paper Applications by Mail.

If you submit your application in paper format by mail (through the U.S. Postal Service or a commercial carrier), you must mail the original and two copies of your application, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.133F-1)  
LBJ Basement Level 1  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260

You must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

If you mail your application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- (1) A private metered postmark.
- (2) A mail receipt that is not dated by the U.S. Postal Service.

If your application is postmarked after the application deadline date, we will not consider your application.

Note: The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

c. Submission of Paper Applications by Hand Delivery.

If you submit your application in paper format by hand delivery, you (or a courier service) must deliver the original and two copies of your application by hand, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.133F-1)  
550 12th Street, SW.  
Room 7041, Potomac Center Plaza  
Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30:00 p.m., Washington, DC time, except Saturdays, Sundays, and Federal holidays.

Note for Mail or Hand Delivery of Paper Applications: If you mail or hand deliver your application to the Department--

(1) You must indicate on the envelope and--if not provided by the Department--in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the competition under which you are submitting your application; and

(2) The Application Control Center will mail to you a notification of receipt of your grant application. If you do not receive this notification within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

## V. Application Review Information

1. Selection Criteria: The selection criteria for this program are from 34 CFR 356.30 through 356.32 and are listed in the application package.

2. Review and Selection Process: Additional factors we consider in determining the merits of an application are as follows:

The Secretary is interested in outcomes-oriented research projects that use rigorous scientific methodologies. To address this interest applicants are encouraged to articulate goals, objectives, and expected outcomes for the proposed research activities. Proposals should describe how results and planned outputs are expected to contribute to advances in knowledge or

improvements in policy and practice. Applicants should propose projects that are optimally designed to be consistent with these goals. Submission of the information identified under this paragraph is not required by law or regulation, but is desired.

## VI. Award Administration Information

1. Award Notices: If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notice (GAN). We may notify you informally, also.

If your application is not evaluated or not selected for funding, we notify you.

2. Administrative and National Policy Requirements: We identify administrative and national policy requirements in the application package and reference these and other requirements in the Applicable Regulations section in this notice.

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section in this notice and include these and other specific conditions in the GAN. The GAN also incorporates your approved application as part of your binding commitments under the grant.

3. Reporting: At the end of your project period you must submit a final performance report, in accordance with 34 CFR 356.51, that must contain at a minimum an analysis of the significance of the project and an assessment of the degree to which the objectives of the project have been achieved.



4. Performance Measures: To evaluate the overall success of its research program, NIDRR assesses the quality of its funded projects through review of grantee performance and products. Each year, NIDRR examines a portion of its grantees to determine the extent to which grantees are conducting high-quality research and related activities that lead to high quality products. Performance measures for the Research Fellowships program include--

- The percentage of NIDRR-supported fellows, post-doctoral trainees, and doctoral students who publish results of NIDRR-sponsored research in refereed journals;
- The percentage of grantee research and development that has appropriate study design, meets rigorous standards of scientific and/or engineering methods, and builds on and contributes to knowledge in the field; and
- The number of publications per award based on NIDRR-funded research and development activities in refereed journals.

NIDRR evaluates the overall success of individual research and development grants through review of grantee performance and products. NIDRR uses information submitted by grantees as part of their final performance report for these reviews. Approved final performance report guidelines require grantees to submit information regarding research methods, results, outputs, and outcomes.

## VII. Agency Contact

For Further Information Contact: Marlene Spencer, U.S.

Department of Education, 400 Maryland Avenue, SW., room 6026,  
Potomac Center Plaza (PCP), Washington, DC 20202. Telephone:  
(202) 245-7532 or by e-mail: marlene.spencer@ed.gov

If you use a TDD, call the Federal Relay Service (FRS),  
toll free, at 1-800-877-8339.

## VIII. Other Information

Accessible Format: Individuals with disabilities can obtain this  
document and a copy of the application package in an accessible  
format (e.g., braille, large print, audiotape, or computer  
diskette) by contacting the Grants and Contracts Services Team,  
U.S. Department of Education, 400 Maryland Avenue, SW., room  
5075, PCP, Washington, DC 20202-2550. Telephone: (202) 245-  
7363. If you use a TDD, call the FRS, toll free, at 1-800-877-  
8339.

Electronic Access to This Document: You can view this document,  
as well as all other documents of this Department published in  
the Federal Register, in text or Adobe Portable Document Format  
(PDF) on the Internet at the following site:

[www.ed.gov/news/fedregister](http://www.ed.gov/news/fedregister)

To use PDF you must have Adobe Acrobat Reader, which is  
available free at this site. If you have questions about  
using PDF, call the U.S. Government Printing Office (GPO),

toll free, at 1-888-293-6498; or in the Washington, DC,  
area at (202) 512-1530.

Note: The official version of this document is the document  
published in the Federal Register. Free Internet access to the  
official edition of the Federal Register and the Code of Federal  
Regulations is available on GPO Access at:

[www.gpoaccess.gov/nara/index.html](http://www.gpoaccess.gov/nara/index.html)

Dated:

---

Tracy R. Justesen,  
Assistant Secretary for  
Special Education and  
Rehabilitative Services.

# **SECTION C**

## **Selection Criteria**

### **Research Fellowship Program**

The Secretary evaluates applications for Fellowships according to the following criteria in 34 CFR 356.30.

(a) Quality and level of formal education (worth 15 points), previous work experience (worth 20 points), and recommendations of present or former supervisors or colleagues that include an indication of the applicant's ability to work creatively in scientific research (worth 15 points); and:

(b) The quality of a research proposal of no more than 24 double spaced pages containing the following information: (1) The importance of the problem to be investigated to the purpose of the Rehabilitation Act and the mission of the National Institute on Disability and Rehabilitation Research (NIDRR) (worth 10 points). (2) The research hypotheses or related objectives and the methodology and design to be followed (worth 30 points). (3) Assurance of the availability of any necessary data resources, equipment, or institutional support, including technical consultation and support where appropriate, required to carry out the proposed activity (worth 10 points).

The application should include all required forms, an abstract, a project narrative, an eligibility statement, a curriculum vitae, letters of recommendation, and information on the protection of human subjects (See Section F: “What should be included in the application” for details.)

Any letters of recommendation received separately from the application will not be forwarded to the reviewers. If the applicant proposes to use unique tests or other measurement instruments that are not widely known in the field, it would be helpful to include the instrument in the application.

Many applications contain voluminous appendices that are not helpful and in many cases cannot even be mailed to the reviewers. It is generally not helpful to include such things as brochures, general capability statements of collaborating organizations, maps, copies of publications, or descriptions of other projects completed by the applicant.

## **SECTION D**

**IMPORTANT – PLEASE READ  
FIRST**

**U.S. Department of Education**  
***Grants.gov Submission Procedures and***  
***Tips for Applicants***

# IMPORTANT – PLEASE READ FIRST

## **U.S. Department of Education** **Grants.gov Submission Procedures and Tips for Applicants**

To facilitate your use of Grants.gov, this document includes important submission procedures you need to be aware of to ensure your application is received in a timely manner and accepted by the Department of Education.

### **ATTENTION**

Applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader 8.1.2). Information on computer and operating system compatibility with Adobe and links to download the latest version is available on Grants.gov. We strongly recommend that you review these details on [www.Grants.gov](http://www.Grants.gov) before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below. Applicants will no longer need to use the PureEdge software to create or submit an application. If you have any questions regarding this matter please email the Grants.gov Contact Center at [support@grants.gov](mailto:support@grants.gov) or call 1-800-518-4726.

- 1) **REGISTER EARLY** – Grants.gov registration may take five or more business days to complete. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the Registration steps are complete. For detailed information on the Registration Steps, please go to: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). [Note: Your organization will need to update its Central Contractor Registry (CCR) registration annually.]
- 2) **SUBMIT EARLY** – We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded. The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully before 4:30:00 p.m. Washington, DC time on the deadline date.

**Note: To submit successfully, you must provide the DUNS number on your application that was used when your organization registered with the CCR (Central Contractor Registry).**

- 3) **VERIFY SUBMISSION IS OK** – You will want to verify that Grants.gov and the Department of Education receive your Grants.gov submission timely and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Track My Application link. For a successful submission, the date/time received should be earlier than 4:30:00 p.m. Washington, DC time, on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned.

If the date/time received is later than 4:30:00 p.m. Washington, D.C. time, on the deadline date, your application is late. If your application has a status of “Received” it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to “Validated” or “Rejected with Errors.” If the status is “Rejected with Errors,” your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site: [http://www.grants.gov/applicants/applicant\\_faqs.jsp#54](http://www.grants.gov/applicants/applicant_faqs.jsp#54). For more detailed information on why an application may be rejected, you can review Application Error Tips <http://www.grants.gov/section910/ApplicationErrorTips.pdf>. If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

### Submission Problems – What should you do?

If you have problems submitting to Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or <http://www.grants.gov/contactus/contactus.jsp>, or use the customer support available on the Web site: [http://www.grants.gov/applicants/applicant\\_help.jsp](http://www.grants.gov/applicants/applicant_help.jsp).

If electronic submission is optional and you have problems that you are unable to resolve before the deadline date and time for electronic applications, please follow the transmittal instructions for hard copy applications in the Federal Register notice and get a hard copy application postmarked by midnight on the deadline date.

If electronic submission is required, you must submit an electronic application before 4:30:00 p.m., unless you follow the procedures in the Federal Register notice and qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. (See the Federal Register notice for detailed instructions.)

### Helpful Hints When Working with Grants.gov

Please note, once you download an application from Grants.gov, you will be working offline and saving data on your computer. Please be sure to note where you are saving the Grants.gov file on your computer. You will need to logon to Grants.gov to upload and submit the application. **You must provide on your application the DUNS number that was used when your organization registered with the CCR.**

Please go to [http://www.grants.gov/applicants/applicant\\_help.jsp](http://www.grants.gov/applicants/applicant_help.jsp) for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application FAQs found on the Grants.gov [http://www.grants.gov/help/submit\\_application\\_faqs.jsp](http://www.grants.gov/help/submit_application_faqs.jsp).

### Dial-Up Internet Connections

**When using a dial up connection to upload and submit your application, it can take significantly longer than when you are connected to the Internet with a high-speed connection, e.g. cable modem/DSL/T1. While times will vary depending upon the size of your application, it can take a few minutes to a few hours to complete your grant submission using a dial up connection. If you do not have access to a high-speed connection and electronic submission is required, you may want to consider following the instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date. (See the Federal Register notice for detailed instructions.)**

### MAC Users

If you do not have a Windows operating System, you may need to use the Citrix solution discussed on Grants.gov to submit an application using Grants.gov. For additional information, review the FAQs for non-windows users [http://www.grants.gov/help/download\\_software.jsp](http://www.grants.gov/help/download_software.jsp). **If electronic submission is required and you are concerned about your ability to submit electronically as a non-windows user, please follow instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date.** (See the Federal Register notice for detailed instructions.)

### Attaching Files – Additional Tips

Please note the following tips related to attaching files to your application:

1. Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (.doc, .pdf or .rtf). Also, do not upload any password protected files to your application.
2. Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission. Therefore, each file uploaded to your application package should have a unique file name.
3. When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend you keep your file names to less than 50 characters. In addition, applicants should avoid including special characters in their file names (for example, %, \*, /, etc.) Both of these conditions (lengthy file names and/or special



characters including in the file names) could result in difficulties opening and processing a submitted application.

4. Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files. For reference, the average discretionary grant application package totals 1 to 2 MB. Therefore, you may want to check the total size of your package before submission.

## **SECTION E**

# **Protection of Human Subjects**

Research activities involving human subjects supported by awards under these programs are subject to Department of Education Regulations for the Protection of Human Subjects.

If you are applying on Grants.gov there is a separate place to include exempt and non-exempt narratives.

Applicants answering "Yes" to item 3 on form ED Supplemental to the SF 424 on Grants.gov or item 13 on form ED 424 whose research activities are nonexempt must complete the seven-point narrative on protection of human subjects. Additionally, seven point narratives are required for each participating partner if research is being conducted at other sites.

Copies of the Department of Education regulations for the Protection of Human Subjects are available from the Grants Policy and Oversight Staff (GPOS), Office of the Chief Financial Officer, Washington, D.C., telephone: (202) 245-6154 and on the Protection of Human Subjects in research Web Site at:

<http://www.ed.gov/about/offices/list/ocfo/humansub.html>

**YOU DO NOT NEED AN ASSURANCE OR IRB APPROVAL AS A CONDITION OF APPLYING FOR THIS AWARD.**

## **SECTION F**

# **FREQUENTLY ASKED QUESTIONS AND POINTS TO REMEMBER IN APPLICATION PREPARATION**

## 1. CAN I GET AN EXTENSION OF THE DUE DATE?

In the case of most competitions the answer is no. On rare occasions the Department of Education may extend a closing date for all applicants. If that occurs, a notice of the revised due date is published in the Federal Register, this extension applies to all applications for a given competition. There are no extensions or exceptions to the due date made for individual applicants. Additionally, there are provisions for extension for Grants.gov, per the guidance included in the application package.

## 2. WHAT SHOULD BE INCLUDED IN THE APPLICATION?

The application should include all required forms included in this package, an abstract, a project narrative, an eligibility statement, a curriculum vitae, letters of recommendation, and information on the protection of human subjects. The abstract should highlight the purpose, target population to be served during the project period, planned goals and objectives, research methods to be utilized, project outcomes, and dissemination. The eligibility statement should identify whether the applicant is applying for the Merit or Distinguished Fellowship and describe the applicant's qualifications for either the Merit or Distinguished Fellowship. It is helpful to highlight evidence of the applicant's training and experience regarding any specialized research methods or data analytic techniques relevant to the proposed study. The curriculum vitae should include, but need not be limited to, information that is specifically pertinent to this proposed project and research experience. If the applicant proposes to use unique tests or other measurement instruments that are not widely known in the field, it would be helpful to include the instrument in the application. Many applications contain voluminous appendices that are not helpful and in many cases cannot even be mailed to the reviewers. It is generally not helpful to include such things as brochures, general capability statements of collaborating organizations, maps, copies of publications, or descriptions of other projects completed by the applicant.

## 3. WHAT FORMAT SHOULD BE USED FOR THE APPLICATION?

NIDRR generally advises applicants to organize the application to follow the selection criteria that will be used. The project narrative should address the specific selection criteria for the competition. The specific review criteria vary according to the specific programs and are contained in this application package. Additionally, applicants should provide clearly stated goals, hypotheses or research questions, expected outcomes, and public benefit of the research or development project. The application should be organized to provide a thorough description of the methods and target population(s) and supported by evidence of need for the project, as identified in the relevant literature; citations are useful and may strengthen the proposal. Specific information on the format can be found in the application format section of this application package.

## 4. THE PAPER APPLICATION FORM CALLS FOR A D-U-N-S NUMBER AND THE ELECTRONIC APPLICATION FORM CALLS FOR AN EMPLOYER IDENTIFICATION NUMBER. HOW DO I RESPOND?

For this grant program, please provide your social security number in lieu of a D-U-N-S number and in lieu of an employer identification number (EIN).

## 5. ARE THERE PAGE LIMITS TO MY APPLICATION?

NIDRR has two competitions with mandatory page limitations, Research Fellowships (133F) and Small Business Innovative Research (133S). All other competitions will suggest page limitations for the narrative sections of the proposal. The application narrative is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. The Notice Inviting Applications will describe the mandatory or suggested limitations, such as page size, spacing, and font size. The page limit does not apply to the cover sheet, the assurances and certifications, the one-page abstract, the eligibility statement, the curriculum vitae, the bibliography, the letters of recommendation, or the information on the protection of human subjects. However, you must include all other pertinent information in the application narrative.

## 6. DO I NEED AN ABSTRACT AND WHAT SHOULD IT INCLUDE?

Yes. The abstract is used by both the peer reviewers and the program staff in the review and processing of the application. The ONE-PAGE abstract should be a comprehensive description of the project (all years), not a description of the competency of the institution or project director. It is not an executive summary. The abstract should highlight the purpose, target population to be served during the project period, planned goals and objectives, research methods to be utilized, project outcomes, and dissemination. It can be single or double-spaced. If applying through Grants.gov, use the ED Abstract form to attach your abstract.

## 7. CAN INDIVIDUALS APPLY FOR GRANTS?

Individuals are not eligible to apply for most grant competitions under NIDRR programs (133A, B, E, G, P, or S). The one exception is the Research Fellowship program (84.133F), which is available only to individuals. Note that for the Research Fellowship program, the applicant is the legal name, the project director and the authorized representative on all forms. No IHE or institutions should sign these forms. The individual must sign all of the forms. The individual will be disqualified if an institution applies or signs the forms for the application.

## 8. CAN NIDRR STAFF ADVISE ME WHETHER MY PROJECT IS OF INTEREST TO NIDRR OR LIKELY TO BE FUNDED?

No. NIDRR staff can only advise you of the requirements of the program in which you propose to submit your application. However, staff cannot advise you of whether your subject area or proposed approach is likely to receive approval.

## 9. HOW DO I ENSURE THAT MY APPLICATION WILL BE REVIEWED UNDER THE CORRECT COMPETITION?

Applicants should be sure that their applications are referred to the correct competition by clearly including the competition title and CFDA number, including alphabetical code, on the Standard Form 424, and include a project title that describes the project, based on the competition. If reapplying for the Field Initiated (133G), you should identify if the application is a resubmittal from a previous fiscal year.

10. WHAT START DATE SHOULD I USE ON MY APPLICATION?

For the purpose of estimating a project start date, the applicant should estimate approximately six to seven months from the closing date, preferably **September 1, 2009**.

11. HOW SOON AFTER SUBMITTING MY APPLICATION CAN I FIND OUT IF IT WILL BE FUNDED?

The time from closing date to grant award date varies from program to program. Generally speaking, NIDRR endeavors to have awards made within six to seven months of the closing date. Unsuccessful applicants generally will be notified within that time frame as well. When NIDRR is able to release information on the status of grant applications, it will notify applicants by letter. The results of the peer review cannot be released except through this formal notification. This information is **not** posted on the NIDRR homepage or the Grants.gov website.

12. WILL ALL APPROVED APPLICATIONS BE FUNDED?

No. Peer review panels can result in more applications being determined to be worthy of consideration for funding than available resources allow.. Unsuccessful applicants are encouraged to consider resubmitting applications in future competitions. Funded applications will be notified in the manner described in #12.

13. WHAT DO I NEED TO DO ABOUT HUMAN SUBJECTS PROTECTION IN MY RESEARCH?

If you are planning research involving human subjects at any time during the project period, you check “Yes” in the Human Subjects section of the 424 form. If you checked “Yes,” you need to indicate whether the research is exempt or not exempt from the protection of human subjects requirements of EDGAR part 97 and if you have an IRB number. You will need to fill out the human subjects narrative for each site where the research is being conducted. The program and the Department’s human subjects staff review the applicant’s response against the application itself to determine its accuracy. They contact you for additional information or clarification, if needed. More information can be found in the instructions for the SF 424 form and in this application package in the Human Subjects section.

14. SHOULD I SUBMIT MY APPLICATION VIA GRANTS.GOV?

The Federal Government is moving towards mandatory electronic submission for its grant applications. The Notice Inviting Applications (NIA) provides information on how to submit via Grants.gov and the application package includes helpful tips. The NIA will also identify if paper submission is allowed. If you do submit by paper, include a disk copy of your application. **We strongly suggest:** (1) Read the Grants.gov instructions carefully; (2) Check with your organization or institution if they are already registered in Grants.gov; if not, **do not wait** to set up your account because it can take five or more days to register; (3) Review the form sections before sending the application to ensure that all information has been uploaded correctly and completely; and (4) Submit early; electronic applications must be uploaded on Grants.gov by

4:30:00 pm, Washington, D.C. time on the closing date and processed by Grants.gov successfully. Please allow several hours or a full day for this process; if there is a submission error, time will be needed to correct the error and resubmit to meet the deadline. Applications received/logged in after 4:30:00 pm (Washington, DC time) will not be reviewed.

**15. MAY I ENGAGE IN ADDITIONAL WORK DURING MY GRANT PERFORMANCE PERIOD IF I AM AWARDED A RESEARCH FELLOWSHIP?**

Fellows have been allowed to dedicate additional hours (beyond their 1FTE commitment to the Fellowship) to other work during their Fellowship grant performance period if this is in keeping with the guidelines offered by their home institutions. In other words, NIDRR defers to the guidelines of the Fellows' home institutions regarding the admissibility of work in excess of the 1 FTE dedicated to the Fellowship. NIDRR strongly suggests that any additional hours be limited to .25FTE (or 10 hours per week), but requires that additional hours be limited to .5FTE (or 20 hours per week). The Fellow cannot receive support through any other Federal Government grants during the term of the fellowship award.



## **POINTS TO REMEMBER IN APPLICATION PREPARATION**

### **Relevant to Program**

1. CFDA Number: In the title block on the 424 form, please note the appropriate CFDA 84.133F.
2. Budget: No budget is required for this program.
3. Organize your narrative in accordance with the selection criterion in SECTION C of this package. Address all criteria. Include a table of contents in your application in order to highlight where the selection criteria can be found in the application. If applying through Grants.gov use the Project Narrative Attachments form to attach your narrative.
4. Page numbers limitations: You must limit the narrative to 24 pages, double-spaced. The page limit does not include the forms, abstract, bibliography, eligibility statement, curriculum vitae, letters of recommendation, or information on human subjects protection.
5. The applicant is the legal name, project director and the authorized representative on all forms. No IHE or institutions should sign these forms. The individual must sign all of the forms. You will be disqualified if an institution other than yourself applies or signs the forms for the application.
6. Letters of recommendation: Letters should be addressed to the applicant. All letters must be included in the application package and not sent separately to NIDRR. The letters of recommendation should attest to the candidate's ability to work creatively in scientific research. This might include (but not necessarily be limited to) the applicant's ability to conduct the quality and level of research that is proposed and the applicant's ability to complete the research independently with access to the proper resources. For electronic submission attach letters under the Other Attachment form.
7. Page number limitations: There is a strict page limit. The narrative (Part III) must be limited to 24 pages, double-spaced. The page limit does not apply to the cover sheet, the assurances and certifications, the one-page abstract, the eligibility statement, the curriculum vitae, the bibliography, the letters of recommendation, or the information on the protection of human subjects.
8. Research Methods: Applicants should clearly state the proposed research hypotheses and/or research questions and should adequately describe the proposed research methodologies and data analysis plan.
9. Project Period: The project period for this grant program is one year (12 months).
10. Grant Funds: Fellows are strongly encouraged to draw down grant funds in comparably sized monthly installments. NIDRR staff cannot provide tax advice. Please be clear in your recruitment strategies for underserved populations including students with disabilities.

## **Closing Date/Transmittal of Application**

11. Paper applications must be postmarked by the closing date of **January 27, 2009**, if **submitting in paper**. Follow the transmittal instructions for submitting in paper or electronically. Please include an electronic copy (disk) with your application, if submitting by paper.

12. Electronic copies must be uploaded on Grants.gov by 4:30:00 pm, Washington DC time on the closing date and then processed by Grants.gov successfully. For additional information on electronic submission procedures, see the section B. Do not send a copy of your application by email directly to the Department. To submit electronically, your application must be submitted electronically via Grants.gov. See procedures for registering as an individual. If you are having difficulties with Grants.gov in the afternoon of the closing date, please print and mail an original and two copies to the paper submittal address.

## **Forms**

### **SF 424 (Use same form for paper or electronic applications)**

13. Legal Name: Provide your own legal name in Block #8. **Please note** the CFDA. 84.133, will automatically populate on Block #11 of the SF 424. Do not include any institutional information in any of the blocks.

14. SSN/EIN: Provide your SSN in lieu of the EIN.

15. Project Director: Project director information is on the ED supplemental form in Block #1. Provide your name as the person to contact, as the project director and as the authorized representative.

16. Novice applicant. Leave Block #2 on the ED Supplemental blank. This item does not apply to NIDRR programs.

17. Block #18: Enter the total amount requested as follows: \$65,000 for Merit Fellowships or \$75,000 for Distinguished Fellowships.

18. EO 12372: Mark Block #19, the EO 12372 as b. no and not covered.

19. Human Subjects: Block #3 on the ED Supplemental. You must include a separate narrative for each site where the research is being conducted. If you check “no”, please include a paragraph addressing why it is not required. Provide in a letter from an institution if IRB is being provided.

### **Abstract/Narrative/Appendices**

20. Abstract: The ONE-PAGE abstract should be a comprehensive description of the project, not an executive summary. It should highlight the purpose, target population to be served during the project period, planned goals and objectives, research methods to be utilized, project outcomes, and dissemination. It can be single or double-spaced. If applying through Grants.gov use the ED Abstract form to attach your abstract.

21. Number all pages to make it easier for the reader to refer to a page number if comments are given (including the appendices).

22. Eligibility Statement: Applicants are asked to submit a brief eligibility statement identifying whether you are applying for the Merit or Distinguished Fellowship and describing your qualifications for either the Merit or Distinguished Fellowship. It is helpful to highlight evidence of the applicant's training and experience regarding any specialized research methods or data analytic techniques relevant to the proposed study. This statement can be included in the appendices, preceding the curriculum vitae. This statement is not included in the 24 page limit. If applying through Grants.gov attach this statement under the Other Narrative Attachments form. You will be disqualified if an institution other than yourself applies or signs the forms for the application.

23. Curriculum Vitae: A curriculum vitae should be included in the appendices. If applying through Grants.gov attach the vitae under the Other Narrative Attachments form.

### **Grants.gov**

24. We strongly suggest that applicants: (1) read the instructions carefully; (2) don't wait until close to the due date to set up your account as it can take five or more days to register; (3) review the application before sending the final version to ensure that all information has been uploaded correctly and completely; and (4) submit early.

25. Electronic applications must be uploaded on Grants.gov and validated by Grants.gov by 4:30:00 pm, Washington, D.C. time on the closing date. For additional information on electronic submission procedures, see the transmittal section of the Notice Inviting Applications.

26. The application information will be uploaded in three areas: ED Abstract Form; Program Narrative Attachment Form; and Other Narrative Attachment Form. The ED Abstract Form is to be used for the abstract. The Program Narrative Attachment Form is to be used for the application narrative, which addresses the selection criteria. This section must be limited to 24-pages, doubled spaced. (Pages dedicated to the bibliography are not included in the page limit.). The Other Narrative Attachment Form is to be used for the eligibility statement, curriculum vitae, letters of recommendation, and any other appendices.

## Miscellaneous Information and Reminders

27. Rehabilitation Act: To find information on the Rehab Act of 1973, as amended, as well as other NIDRR policy & legislation, go to:  
<http://www.ed.gov/about/offices/list/osers/nidrr/policy.html> or  
<http://www.ed.gov/policy/speced/reg/narrative.html?exp=0>

28. Help in Preparing Applications. NIDRR staff may not participate in the actual writing of an application. NIDRR staff may provide general program information to applicants and may respond to specific questions about application requirements, evaluation criteria, and announced priorities. Applicants should understand that such previous contact is not required, nor does it guarantee the success of an application.

29. Possibility Of Learning The Outcome Of Review Panels Prior To Official Notification. Every year NIDRR is contacted by a number of applicants who have legitimate reasons for needing to know the outcome of the review prior to official notification. Some applicants need to make job decisions; some need to notify a partner, etc. Regardless of the reason, NIDRR cannot share information about the review with anyone until the Assistant Secretary has approved a slate of projects recommended for funding. You will be notified as quickly as possible either by telephone followed by a letter (if your application is recommended for funding), or through a letter (if your application is not successful).

30. Return of Non-Funded Applications. We do not return original copies of applications. Thus, applicants should retain at least one copy of the application. Copies of reviewer comments will be mailed to all applicants.

31. Eligible Applicants. **Distinguished Fellowships** are awarded to individuals with a doctorate, other terminal degree, or comparable academic qualifications who have seven or more years of research experience in subject areas, methods or techniques directly relevant to rehabilitation research. **Merit Fellowships** are awarded to individuals with advanced professional training or research experience in independent study in appropriate areas which is directly pertinent to disability and rehabilitation, but who are in earlier stages of their research career, with less than the required seven years' experience, or who do not have a doctorate.

32. If you are looking to see what we have funded or are currently funding, we have an on-line program directory at [www.naric.com](http://www.naric.com). Once there - click on "NIDRR". Under "grantee resources" click on "search for other research projects". This will connect you to the program directory. Click on "search all fields" and then type in your topic. By clicking on a grant number you will find information on who has the grant, how to contact them, and a brief description of their project. The Fellowship projects will start with H133F. Instead of "search all fields" you can select "search by project type", ie., Research Fellowship.

33. Reporting Requirements. Successful fellowship applicants are required to submit a final performance report, 90 days after the end of the project period. For NIDRR, the Final Performance Report is submitted electronically via a web-based system. This system is maintained by a contractor and grantees are notified after receiving an award with the appropriate URL and personal password to access the system. The contractor will also send a letter to the successful grantees informing them when and how to submit their final performance

report. The final report will demonstrate and document the progress in meeting approved project objectives and the success in addressing the performance measures outlined in the Notice Inviting Applications. Grantees must also provide the most current performance measure data for the project.

34. NIDRR's Long Range Plan was published in the Federal Register on February 15, 2006 (71 FR 8165), can be accessed on the Internet at the following site:  
<http://www.ed.gov/about/offices/list/ose/nidrr/policy.html>

35. New Freedom Initiative (NFI). The NFI can be accessed on the Internet at the following site: <http://www.whitehouse.gov/infocus/newfreedom>

# **SECTION G**

## **Application Format**

**Applications submitted electronically MUST be fully uploaded and transmitted by Grants.gov to the Department of Education by 4:30:00 p.m. Washington, DC time on January 27, 2009.**

**Applications that are mailed either by regular or delivery service MUST be postmarked or logged in to a delivery company by COB, January 27, 2009.**

It is recommended that your electronic or paper application be organized in the following manner and include the following:

**1. Application for Federal Education Assistance (Form SF 424)**

- This application cover sheet requires basic identifying information about the applicant and the application.
- Applicants should clearly indicate, in block #4 of either form, the CFDA number of the program (CDFA 84.133F). If this information is not provided, your application may be assigned and reviewed under a different program.

**2. Table of Contents**

- The Table of Contents shows where and how the important sections of your proposal are organized.
- While the application will be submitted electronically, the reviewers will use printed copies during the review process. The Table of Contents will assist them in more efficiently and effectively evaluating your application.
- Please attach the Table of Contents if using Grants.gov, to the Project Narrative Attachment Form.

**3. Project Abstract**

- The abstract requires a concise (not exceeding one page) description of the project objectives, activities, priority (if applicable) and proposed outcome(s). For Grants.gov submissions attach the abstract under the ED Abstract form.

#### **4. Project Narrative**

- The project narrative responds to the selection criteria found in this application package. For Grants.gov submissions attach the project narrative under the Project Narrative Attachment form.
- Each applicant must limit the application narrative to the equivalent of no more than 24 pages and adhere to the following guidelines:
  - A “page” is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
  - Double-space (no more than three lines per vertical inch) all text in the program narrative.
  - Use a font that is either 12-point or larger or no smaller than 10-pitch (characters per inch).
  - Begin numbering at the right bottom of the first page in Arabic numerals ("1") and number the pages consecutively throughout the document.
  - Include all critical information in the program narrative, minimizing the need for additional appendices.
  - Include a complete bibliography listing all materials that were referenced in the project narrative.

NOTE: The page limit does not apply to the forms (including assurances and certifications), project abstract, bibliography, eligibility statement, curriculum vitae, letters of recommendation, or information on protection of human subjects.

#### **5. Eligibility Statement**

- A brief statement of eligibility should identify whether the applicant is applying for the Merit or Distinguished Fellowship and describe the applicant's qualifications for either the Merit or Distinguished Fellowship. It is helpful to highlight evidence of the applicant's training and experience regarding any specialized research methods or data analytic techniques relevant to the proposed study. For Grants.gov submissions, attach the eligibility statement under the Other Attachment form.

#### **6. Curriculum Vitae**

- Provide a curriculum vitae (or resume) that includes relevant qualifications for contributions to the achievement of project goals and objectives. For Grants.gov submissions, attach the curriculum vitae under the Other Attachment form.



**7. Letters of Recommendation**

- Include letters of recommendation that attest to the applicant's ability to work creatively in scientific research. This might include, but not necessarily be limited to the applicant's ability to conduct the quality and level of research that is proposed and the applicant's ability to complete the research independently with access to the proper resources.
- For Grants.gov submissions, attach the letters of recommendations under the Other Attachment form.

**8. Assurances and Certificates**

- Be certain to include all assurances and certifications, and sign each form in the appropriate place.
- The assurances and certifications included in the application package are:
  - Assurances – Non-Construction Programs (SF 424B Form)
  - Certifications For paper - Lobbying (form ED 80-0013) or the Grants.gov Lobbying Form
  - Survey on Ensuring Equal Opportunity for Applicants (if applicable)

**9. The budget form and justification are not required by this program.**

# **SECTION H**

## **Application Forms**

## **REQUIRED FORMS:**

<http://www.ed.gov/fund/grant/apply/appforms/appforms.html>

**(Submitting by paper)**

**Federal Assistance Face Page (SF 424)**  
**SF 424 ED Supplemental**  
**Assurances - Non-Construction Programs (SF 424b)**  
**Certifications Regarding Lobbying (ED 80-0013)**  
**Survey on Ensuring Equal Opportunity for Applicants**

**(Submitting by Grants.gov)**

**Federal Assistance Face Page (SF 424)**  
**SF 424 ED Supplemental**  
**Assurances - Non-Construction Programs (SF 424b)**  
**Grants.gov Lobbying Form**  
**Survey on Ensuring Equal Opportunity for Applicants**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 1820-0027. The time required to complete this information collection is estimated to average 40 hours per response, including the time to review instructions, search existing data resources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

Under terms of the Paperwork Reduction Act of 1980, as amended, and the regulations implementing that Act, the Department of Education invites comment on the public reporting burden in this collection of information. You may send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, Information Management and Compliance Division, Washington, D.C. 20202-4651; and to the Office of Management and Budget, Paperwork Reduction Project 1820-0027, Washington, D.C. 20503.

# **SECTION I**

## **DUNS Number Instructions**

NOTE: Check with your fiscal office to see if your institution has an assigned DUNS before contacting Dun & Bradstreet

D-U-N-S No.: Please provide the applicant's D-U-N-S Number. You can obtain your D-U-N-S Number at no charge by calling **1-800-333-0505** or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL:

[http://www.dnb.com/US/duns\\_update/index.html](http://www.dnb.com/US/duns_update/index.html)

The D-U-N-S Number is a unique nine-digit number that does not convey any information about the recipient. A built in check digit helps assure the accuracy of the D-U-N-S Number. The ninth digit of each number is the check digit, which is mathematically related to the other digits. It lets computer systems determine if a D-U-N-S Number has been entered correctly.

Dun & Bradstreet, a global information services provider, has assigned D-U-N-S numbers to over 43 million companies worldwide. **Live help Monday-Friday 8am-6pm (EST) Dial 1.888.814.1435**

Note: Electronic submission via Grants.gov must use DUNS number your organization used when it registered in the Central Contractor Registry.

# **SECTION J**

---

## APPLICATION CHECKLIST

Does your application include each of the following?

- ☐ Cover page or SF 424 marked **84.133F-1**?
- ☐ Priority Topic identified in the Descriptive Title Block 11 of the SF 424?
- ☐ Budget form (ED form 524) with dollar amounts not exceeding the maximum in any year
- ☐ Budget narrative for each year with arithmetic checked for accuracy
- ☐ Program narrative, including abstract and responses to the selection criteria
- ☐ Assurances and Certifications (from the forms list in section H)
- ☐ Correctly uploaded files if submitting electronically
- ☐ All required forms with original signatures and dates if submitting by post, hand-delivery or carrier service
- ☐ Narrative on the Protection of Human Subjects?

Did You do each of the following?

- ☐ Mail or submit application on or before **January 27, 2009.**
- ☐ Provide 1 original and 2 copies of the application if submitting by post, hand-delivery or carrier service (Although not required, 1 original and 8 copies are requested)?
- ☐ Fully complete the upload of your application and receive successful validation of the submission **before 4:30:00 pm**, Washington, D.C. time on the closing date if submitting electronically
- ☐ Use the correct mailing address from Section B if submitting by post, hand-delivery or carrier service?

# INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 60 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

This is a standard form (including the continuation sheet) required for use as a cover sheet for submission of preapplications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the Federal agency (agency). Required items are identified with an asterisk on the form and are specified in the instructions below. In addition to the instructions provided below, applicants must consult agency instructions to determine specific requirements.

Item	Entry:	Item	Entry:
1.	<b>Type of Submission:</b> (Required): Select one type of submission in accordance with agency instructions. Preapplication Application Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date.	10.	<b>Name Of Federal Agency:</b> (Required) Enter the name of the Federal agency from which assistance is being requested with this application.
		11.	<b>Catalog Of Federal Domestic Assistance Number/Title:</b> Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
2.	<b>Type of Application:</b> (Required) Select one type of application in accordance with agency instructions. New – An application that is being submitted to an agency for the first time. Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals. Revision - Any change in the Federal Government's financial obligation or contingent liability	12.	<b>Funding Opportunity Number/Title:</b> (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
		13.	<b>Competition Identification Number/Title:</b> Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.



	from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. A. Increase Award      B. Decrease Award C. Increase Duration      D. Decrease Duration E. Other (specify)	14.	<b>Areas Affected By Project:</b> List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.
3.	<b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.	15.	<b>Descriptive Title of Applicant's Project:</b> (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For preapplications, attach a summary description of the project.
4.	<b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.		
5a.	<b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the Federal Agency, if any.	16.	<b>Congressional Districts Of:</b> (Required) 16a. Enter the applicant's Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 2-3 characters District Number, e.g., CA-12 for California 12 <sup>th</sup> district, NC-103 for North Carolina's 103 <sup>rd</sup> district. If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland. If nationwide, i.e. all districts within all states are affected, enter US-all. If the program/project is outside the US, enter 00-000.
5b.	<b>Federal Award Identifier:</b> For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.		
6.	<b>Date Received by State:</b> Leave this field blank. This date will be assigned by the State, if applicable.		
7.	<b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the State, if applicable.		
8.	<b>Applicant Information:</b> Enter the following in accordance with agency instructions:		
	<b>a. Legal Name:</b> (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website.	17.	<b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.
	<b>b. Employer/Taxpayer Number (EIN/TIN):</b> (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.	18.	<b>Estimated Funding:</b> (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.
	<b>c. Organizational DUNS:</b> (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website.		
	<b>d. Address:</b> Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).	19.	<b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State
	<b>e. Organizational Unit:</b> Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable.		
	<b>f. Name and contact information of person to be contacted on matters involving this application:</b> Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.	20.	<b>Is the Applicant Delinquent on any Federal Debt?</b> (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.  If yes, include an explanation on the continuation sheet.
9.	Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions .	21.	<b>Authorized Representative:</b> (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required)

	State Government County Government City or Township Government Special District Government Regional Organization U.S. Territory or Possession Independent School District Public/State Controlled Institution of Higher Education Indian/Native American Tribal Government (Federally Recognized) Indian/Native American Tribal Government (Other than Federally Recognized) Indian/Native American Tribally Designated Organization Public/Indian Housing Authority	Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) Private Institution of Higher Education Individual For-Profit Organization (Other than Small Business) Small Business Hispanic-serving Institution Historically Black Colleges and Universities (HBCUs) Tribally Controlled Colleges and Universities (TCCUs) Alaska Native and Native Hawaiian Serving Institutions Non-domestic (non-US) Entity Other (specify)		title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

## INSTRUCTIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

**1. Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.

**2. Novice Applicant.** Check “Yes” or “No” only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank**.

Check “Yes” if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled “Definitions for Department of Education Supplemental Information for SF 424.” By checking “Yes” the applicant certifies that it meets these novice applicant requirements. Check “No” if you do not meet the requirements for novice applicants.

**3. Human Subjects Research.** (See I. A. “Definitions” in attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”)

**If Not Human Subjects Research.** Check “No” if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 3 are then not applicable.

**If Human Subjects Research.** Check “Yes” if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check “Yes” even if the research is exempt from the regulations for the protection of human subjects. (See I. B. “Exemptions” in attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”)

**3a. If Human Subjects Research is Exempt from the Human Subjects Regulations.** Check “Yes” if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I. B. “Exemptions.” In addition, follow the instructions in II. A. “Exempt Research Narrative” in the attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”

**3a. If Human Subjects Research is Not Exempt from Human Subjects Regulations.** Check “No” if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II. B. “Nonexempt Research Narrative” in the page entitled “Definitions for Department of Education Supplemental Information For SF 424

**3a. Human Subjects Assurance Number.** If the applicant has an approved Federal Wide (FWA) on file with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter “None.” In this case, the applicant, by signature on the SF-424, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

**Note about Institutional Review Board Approval.** ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

**Paperwork Burden Statement.** According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0017. The time required to

complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4700. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12<sup>th</sup> Street, S.W. Room 7076, Washington, D.C. 20202-4260.

**DEFINITIONS FOR  
DEPARTMENT OF EDUCATION  
SUPPLEMENTAL INFORMATION  
FOR SF 424**

# Attachment to Instructions for Supplemental Information for SF 424

## Definitions:

**Novice Applicant (See 34 CFR 75.225).** For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

## PROTECTION OF HUMAN SUBJECTS IN RESEARCH

### I. Definitions and Exemptions

#### A. Definitions.

**A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.**

#### —Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program that is considered research for other purposes. For example, some demonstration and service programs may include research activities.

#### —Human Subject

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” *(1) If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of*

*human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met. [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]*

## B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

- (1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.
- (2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]
- (3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.
- (4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.
- (5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.
- (6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

## II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

If the applicant marked "Yes" for Item 3 of Department of Education Supplemental Information for SF 424, the applicant must provide a human subjects "exempt research" or "nonexempt research" narrative. Insert the narrative(s) in the space provided. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address.

### A. Exempt Research Narrative.

If you marked "Yes" for item 3 a. and designated exemption numbers(s), provide the "exempt research" narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.



## **B. Nonexempt Research Narrative.**

If you marked “No” for item 3 a. you must provide the “nonexempt research” narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

(1) **Human Subjects Involvement and Characteristics:** Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

(2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

*Copies of the Department of Education’s Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4250, telephone: (202) 245-6120, and on the U.S. Department of Education’s Protection of Human Subjects in Research Web Site: <http://www.ed.gov/about/offices/list/OCFO/humansub.html>*

NOTE: The **State Applicant Identifier** on the SF 424 is for State Use only. Please complete it on the OMB Standard 424 in the upper right corner of the form (if applicable).

## Definitions for Form ED 424

**Novice Applicant (See 34 CFR 75.225).** For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

**Type of Submission.** “Construction” includes construction of new buildings and acquisition, expansion, remodeling, and alteration of existing buildings, and initial equipment of any such buildings, or any combination of such activities (including architects' fees and the cost of acquisition of land). “Construction” also includes remodeling to meet standards, remodeling designed to conserve energy, renovation or remodeling to accommodate new technologies, and the purchase of existing historic buildings for conversion to public libraries. For the purposes of this paragraph, the term “equipment” includes machinery, utilities, and built-in equipment and any necessary enclosures or structures to house them; and such term includes all other items necessary for the functioning of a particular facility as a facility for the provision of library services.

**Executive Order 12372.** The purpose of Executive Order 12372 is to foster an intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The application notice,

as published in the Federal Register, informs the applicant as to whether the program is subject to the requirements of E.O. 12372. In addition, the application package contains information on the State Single Point of Contact. An applicant is still eligible to apply for a grant or grants even if its respective State, Territory, Commonwealth, etc. does not have a State Single Point of Contact. For additional information on E.O. 12372 go to [http://12.46.245.173/pls/portal30/catalog.REQ\\_FOR\\_12372.show](http://12.46.245.173/pls/portal30/catalog.REQ_FOR_12372.show)

## PROTECTION OF HUMAN SUBJECTS IN RESEARCH

### I. Definitions and Exemptions

#### A. Definitions.

**A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.**

#### —Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

#### —Human Subject

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” *(1) If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with*

surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met. [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

## **B. Exemptions.**

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed.***

***Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed

public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

## **II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives**

If the applicant marked "Yes" for Item 13 on the ED 424, the applicant must provide a human subjects "exempt research" or "nonexempt research" narrative and insert it immediately following the ED 424 face page.

### **A. Exempt Research Narrative.**

If you marked "Yes" for item 13 a. and designated exemption numbers(s), provide the "exempt research" narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

### **B. Nonexempt Research Narrative.**

If you marked “No” for item 13 a. you must provide the “nonexempt research” narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

**(1) Human Subjects Involvement and**

**Characteristics:** Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

**(2) Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

**(3) Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

**(4) Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

**(5) Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

**(6) Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in

relation to the importance of the knowledge that may reasonably be expected to result.

**(7) Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

*Copies of the Department of Education’s Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4250, telephone: (202) 245-6120, and on the U.S. Department of Education’s Protection of Human Subjects in Research Web Site at <http://www.ed.gov/about/offices/list/ocfo/humansub.html>*

# Instructions for ED 524

## General Instructions

This form is used to apply to individual U.S. Department of Education (ED) discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached. Please consult with your Business Office prior to submitting this form.

### Section A - Budget Summary U.S. Department of Education Funds

All applicants must complete Section A and provide a breakdown by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

#### Indirect Cost Information:

If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. (1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government. (2): If you checked "yes" in (1), indicate in (2) the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED or another Federal agency (Other) issued the approved agreement. If you check "Other," specify the name of the Federal agency that issued the approved agreement. (3): If you are applying for a grant under a Restricted Rate Program (34 CFR 75.563 or 76.563), indicate whether you are using a restricted indirect cost rate that is included on your approved Indirect Cost Rate Agreement or whether you are using a restricted indirect cost rate that complies with 34 CFR 76.564(c)(2). Note: State or Local government agencies may not use the provision for a restricted indirect cost rate specified in 34 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

### Section B - Budget Summary Non-Federal Funds

If you are required to provide or volunteer to provide matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e): For each project year, for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave this space blank.

Section C - Budget Narrative [Attach separate sheet(s)]  
Pay attention to applicable program specific instructions,  
if attached.

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.
2. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
3. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of "Training grants" (34 CFR 75.562) and grants under programs with "Supplement not Supplant" requirements ("Restricted Rate" programs) by a "modified total direct cost" (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

When calculating indirect costs (line 10) for "Training grants" or grants under "Restricted Rate" programs, you must refer to the information and examples on ED's website at:

<http://www.ed.gov/fund/grant/apply/appforms/appforms.html>.

You may also contact (202) 377-3838 for additional information regarding calculating indirect cost rates or general indirect cost rate information.

4. Provide other explanations or comments you deem necessary.

#### Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0004. The time required to complete this information collection is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to (insert program office), U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.

**ASSURANCES - NON-CONSTRUCTION PROGRAMS**

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

**Note:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. . . 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. . . 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. . 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. . . 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) . . 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. . . 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. . 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. . . 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.



9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. . . 276a to 276a-7), the Copeland Act (40 U.S.C. . 276c and 18 U.S.C. . . 874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. . . 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. . . 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. . . 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. . . 1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. . 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. . . 469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. . . 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. . . 4801 et seq.) which prohibits the use of lead- based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, □Audits of States, Local Governments, and Non-Profit Organizations.□
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL		TITLE	
APPLICANT ORGANIZATION			DATE SUBMITTED

Standard Form 424B (Rev. 7-97) Back

OMB Control No. 1890-0007 (Exp. 11/30/2007)

### NOTICE TO ALL APPLICANTS

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P.L.) 103-382).

### To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS**

## **TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

### **What Does This Provision Require?**

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

### **Estimated Burden Statement for GEPA Requirements**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1890-0007**. The time required to complete this information collection is estimated to average 1.5 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue SW, Washington, DC 20202-4250.

### **INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES**

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

- 1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.***

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

### **What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?**

The following examples may help illustrate how an applicant may comply with Section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

2. *Identify the status of the covered Federal action.*
3. *Identify the appropriate classification of this report. If this is a follow up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.*
4. *Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.*
5. *If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.*
6. *Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.*
7. *Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.*
8. *Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."*
9. *For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.*
10. (a) *Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.*  
  
(b) *Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).*
11. *The certifying official shall sign and date the form, print his/her name, title, and telephone number.*

---

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 205

## Survey Instructions on Ensuring Equal Opportunity for Applicants

**Provide the applicant's (organization) name and DUNS number and the grant name and CFDA number.**

1. Self-explanatory.
2. Self-identify.
3. Self-identify.
4. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
5. Self-explanatory.
6. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
7. Annual budget means the amount of money your organization spends each year on all of its activities.

### **Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** The Agency Contact listed in this grant application package.

## INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

---

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503

## **GRANT APPLICATION RECEIPT ACKNOWLEDGEMENT**

---

If you fail to receive the notification of application within fifteen (15) days from the closing date, call:

U.S. Department of Education  
Application Control Center  
(202) 245-6288

## **GRANT AND CONTRACT FUNDING INFORMATION**

---

The Department of Education provides information about grant and contract opportunities electronically in several ways:

ED Internet Home Page      <http://www.ed.gov/>      (WWW address)